

Declaration and Power of Attorney For Patent Application

Erklärung Für Patentanmeldungen Mit Vollmacht

German Language Declaration

Als nachstehend benannter Erfinder erkläre ich hiermit an Eides Statt:

dass mein Wohnsitz, meine Postanschrift, und meine Staatsangehörigkeit den im Nachstehenden nach meinem Namen aufgeführten Angaben entsprechen,

dass ich, nach bestem Wissen der ursprüngliche, erste und alleinige Erfinder (falls nachstehend nur ein Name angegeben ist) oder ein ursprünglicher, erster und Miterfinder (falls nachstehend mehrere Namen aufgeführt sind) des Gegenstandes bin, für den dieser Antrag gestellt wird und für den ein Patent beantragt wird für die Erfindung mit dem Titel:

Verfahren zur Herstellung eines
vertikalen MOS-Transistors

deren Beschreibung

(zutreffendes ankreuzen)

☒ hier beigelegt ist.

☒ am _____ als

PCT internationale Anmeldung

PCT Anmeldungsnummer _____

eingereicht wurde und am _____

abgeändert wurde (falls tatsächlich abgeändert).

Ich bestätige hiermit, dass ich den Inhalt der obigen Patentanmeldung einschliesslich der Ansprüche durchgesehen und verstanden habe, die eventuell durch einen Zusatzantrag wie oben erwähnt abgeändert wurde.

Ich erkenne meine Pflicht zur Offenbarung irgendwelcher Informationen, die für die Prüfung der vorliegenden Anmeldung in Einklang mit Absatz 37, Bundesgesetzbuch, Paragraph 1.56(a) von Wichtigkeit sind, an.

Ich beanspruche hiermit ausländische Prioritätsvorteile gemäss Abschnitt 35 der Zivilprozessordnung der Vereinigten Staaten, Paragraph 119 aller unten angegebenen Auslandsanmeldungen für ein Patent oder eine Erfindersurkunde, und habe auch alle Auslandsanmeldungen für ein Patent oder eine Erfindersurkunde nachstehend gekennzeichnet, die ein Anmeldedatum haben, das vor dem Anmeldedatum der Anmeldung liegt, für die Priorität beansprucht wird.

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

the specification of which

(check one)

☐ is attached hereto.

☐ was filed on _____ as

PCT international application

PCT Application No. _____

and was amended on _____

(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

German Language Declaration

Prior foreign applications
Priorität beansprucht

Priority Claimed

197 11 481.4 Germany 19. März 1997
(Number) (Country) (Day Month Year Filed)
(Nummer) (Land) (Tag Monat Jahr eingereicht)

☒ ☐
Yes No
Ja Nein

(Number) (Country) (Day Month Year Filed)
(Nummer) (Land) (Tag Monat Jahr eingereicht)

☐ ☐
Yes No
Ja Nein

(Number) (Country) (Day Month Year Filed)
(Nummer) (Land) (Tag Monat Jahr eingereicht)

☐ ☐
Yes No
Ja Nein

Ich beanspruche hiermit gemäss Absatz 35 der Zivilprozessordnung der Vereinigten Staaten, Paragraph 120, den Vorzug aller unten aufgeführten Anmeldungen und falls der Gegenstand aus jedem Anspruch dieser Anmeldung nicht in einer früheren amerikanischen Patentanmeldung laut dem ersten Paragraphen des Absatzes 35 der Zivilprozessordnung der Vereinigten Staaten, Paragraph 122 offenbart ist, erkenne ich gemäss Absatz 37, Bundesgesetzbuch, Paragraph 1.56(a) meine Pflicht zur Offenbarung von Informationen an, die zwischen dem Anmeldedatum der früheren Anmeldung und dem nationalen oder PCT internationalen Anmeldedatum dieser Anmeldung bekannt geworden sind.

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §122, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application.

(Application Serial No.)
(Anmeldeseriennummer)

(Filing Date)
(Anmeldedatum)

(Status)
(patentiert, anhängig,
aufgegeben)

(Status)
(patented, pending,
abandoned)

(Application Serial No.)
(Anmeldeseriennummer)

(Filing Date)
(Anmeldedatum)

(Status)
(patentiert, anhängig,
aufgeben)

(Status)
(patented, pending,
abandoned)

Ich erkläre hiermit, dass alle von mir in der vorliegenden Erklärung gemachten Angaben nach meinem besten Wissen und Gewissen der vollen Wahrheit entsprechen, und dass ich diese eidesstattliche Erklärung in Kenntnis dessen abgebe, dass wissentlich und vorsätzlich falsche Angaben gemäss Paragraph 1001, Absatz 18 der Zivilprozessordnung der Vereinigten Staaten von Amerika mit Geldstrafe belegt und/oder Gefängnis bestraft werden können, und dass derartig wissentlich und vorsätzlich falsche Angaben die Gültigkeit der vorliegenden Patentanmeldung oder eines darauf erteilten Patentes gefährden können.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

German Language Declaration

VERTRETUNGSVOLLMACHT: Als benannter Erfinder beauftrage ich hiermit den nachstehend benannten Patentanwalt (oder die nachstehend benannten Patentanwälte) und/oder Patent-Agenten mit der Verfolgung der vorliegenden Patentanmeldung sowie mit der Abwicklung aller damit verbundenen Geschäfte vor dem Patent- und Warenzeichenamt: (Name und Registrationsnummer anführen)

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. (list name and registration number)

And I hereby appoint

Messrs. John D. Simpson (Registration No. 19,842), Lewis T. Steadman (17,074), William C. Stueber (16,453), P. Phillips Connor (19,259), Dennis A. Gross (24,410), Marvin Moody (16,549), Steven H. Noll (28,982), Brett A. Valiquet (27,841), Thomas I. Ross (29,275), Kevin W. Guynn (29,927), Edward A. Lehmann (22,312), James D. Hobart (24,149), Robert M. Barrett (30,142), James Van Santen (16,584), J. Arthur Gross (13,615), Richard J. Schwarz (13,472) and Melvin A. Robinson (31,870), David R. Metzger (32,919), John R. Garrett (27,888) all members of the firm of Hill, Steadman & Simpson, A Professional Corporation.

Telefongespräche bitte richten an:
(Name und Telefonnummer)

Direct Telephone Calls to: (name and telephone number)

312/876-0200

Ext. _____

Postanschrift:

Send Correspondence to:

HILL, STEADMAN & SIMPSON
A Professional Corporation
85th Floor Sears Tower, Chicago, Illinois 60606

Voller Name des einzigen oder ursprünglichen Erfinders:		Full name of sole or first inventor:	
<u>AEUGLE, Thomas</u>			
Unterschrift des Erfinders	Datum	Inventor's signature	Date
<u>Thomas Aeugle</u>	<u>25.2.98</u>		
Wohnsitz		Residence	
<u>D-81735 München, Germany</u>		<u>DEX</u>	
Staatsangehörigkeit		Citizenship	
<u>Bundesrepublik Deutschland</u>			
Postanschrift		Post Office Address	
<u>Alb.-Schweitzer-Str. 38</u>			
<u>D-81735 München</u>			
<u>Bundesrepublik Deutschland</u>			
Voller Name des zweiten Miterfinders (falls zutreffend):		Full name of second joint inventor, if any:	
<u>RÖSNER, Wolfgang</u>			
Unterschrift des Erfinders	Datum	Second Inventor's signature	Date
<u>Wolfgang Rösner</u>	<u>25.2.98</u>		
Wohnsitz		Residence	
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Staatsangehörigkeit		Citizenship	
<u>Bundesrepublik Deutschland</u>			
Postanschrift		Post Office Address	
<u>Heinzelmännchenstr. 2</u>			
<u>D-81739 München</u>			
<u>Bundesrepublik Deutschland</u>			

(Bitte entsprechende Informationen und Unterschriften im Falle von dritten und weiteren Miterfindern angeben).

(Supply similar information and signature for third and subsequent joint inventors).

Voller Name des dritten Miterfinders: BEHAMMER, Dag		Full name of third joint inventor:	
Unterschrift des Erfinders <i>Dag Behammer</i>	Datum <i>22.2.98</i>	Inventor's signature	Date
Wohnsitz D-89079 Ulm, Germany <i>DEX</i>		Residence	
Staatsangehörigkeit Bundesrepublik Deutschland		Citizenship	
Postanschrift Friedrichshafener Str. 22		Post Office Address	
D-89079 Ulm			
Bundesrepublik Deutschland			
Voller Name des vierten Miterfinders (falls zutreffend): VESCAN, Lili		Full name of fourth joint inventor, if any:	
Unterschrift des Erfinders <i>Lili Vescan</i>	Datum <i>28.02.98</i>	Inventor's signature	Date
Wohnsitz D-52072 Aachen, Germany <i>DEX</i>		Residence	
Staatsangehörigkeit Bundesrepublik Deutschland		Citizenship	
Postanschrift Richtericher Str. 86		Post Office Address	
D-52072 Aachen			
Bundesrepublik Deutschland			
Voller Name des fünften Miterfinders (falls zutreffend):		Full name of fifth joint inventor, if any:	
Unterschrift des Erfinders	Datum	Inventor's signature	Date
Wohnsitz		Residence	
Staatsangehörigkeit		Citizenship	
Postanschrift		Post Office Address	
Voller Name des sechsten Miterfinders (falls zutreffend):		Full name of sixth joint inventor, if any:	
Unterschrift des Erfinders	Datum	Inventor's signature	Date
Wohnsitz		Residence	
Staatsangehörigkeit		Citizenship	
Postanschrift		Post Office Address	

(Bitte entsprechende Informationen und Unterschriften im Falle von dritten und weiteren Miterfindern angeben).

(Supply similar information and signature for third and subsequent joint inventors).

A/D 581.40

09/381323
420 Rec PCT/PTO 16 SEP 1999
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To the Honorable Commissioner of Patents and Trademarks: Please Record the attached original documents or copy thereof.					
1. Name of conveying party(ies): THOMAS AEUGLE WOLFGANG RÖSNER DAG BEHAMMER LILI VESCAN Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			2. Name and address of receiving party(ies): Name: <u>Siemens Aktiengesellschaft</u> Internal Address: _____ Street Address: _____ <u>Munich, Germany</u> City: _____ State: _____ Zip: _____ Additional Name(s) & Address(es) attached <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other _____ Execution Date <u>2/22/98, 2/25/98 and 3/2/98</u>					
4. Application (number(s) or patent number(s): If this document is being filed together with a new application, the execution date of the application is: <u>2/22/98</u> <u>2/25/98 & 3/2/98</u> A. Patent Application No.(s) B: Patent No.(s) PCT International Application No. PCT/EP98/01405 Attorney Docket No. P99,1696 Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No					
5. Name and address of party to whom correspondence concerning document should be mailed: Hill & Simpson, P.C. 85th Floor Sears Tower 233 S. Wacker Drive Chicago, IL 60606			6. Total number of applications and patents involved _____ 1 _____ 7. Total Fee (37 CFR 3.41 \$ <u>40.00</u> <input checked="" type="checkbox"/> Enclosed <input checked="" type="checkbox"/> Authorized to be charged to deposit account any Additional fees 8. Deposit Account Number: <u>08-2290</u> (Attach duplicate copy of this page if paying by deposit account)		
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THOMAS AEUGLE
WOLFGANG RÖSNER
DAG BEHAMMER
LILI VESCAN

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

2. Name and address of receiving party(ies):

Name: Forschungszentrum Jülich GmbH

Internal Address: _____

Street Address: _____

Munich, Germany

City: _____ State: _____ Zip: _____

Additional Name(s) & Address(es) attached ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

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4. Application (number(s) or patent number(s):

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A. Patent Application No.(s)

B: Patent No.(s)

PCT International Application No. PCT/EP98/01405

Attorney Docket No. P99,1696

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom
correspondence concerning document should be
mailed:

Hill & Simpson, P.C.

85th Floor Sears Tower
233 S. Wacker Drive
Chicago, IL 60606

6. Total number of applications and patents involved

17. Total Fee (37 CFR 3.41) \$ 40.00☒ Enclosed
☒ Authorized to be charged to deposit account any
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9. Statement and signature:

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a
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Steven H. Noll

Name of Person Signing

Signature

September 16, 1999

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1. Name of conveying party(ies):

THOMAS AEUGLE
WOLFGANG RÖSNER
DAG BEHAMMER
LILI VESCAN

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

2. Name and address of receiving party(ies):

Name: Ruhr-Universität Bochum

Internal Address: _____

Street Address: _____

Munich, Germany

City: _____ State: _____ Zip: _____

Additional Name(s) & Address(es) attached ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Execution Date 2/22/98, 2/25/98 and 3/2/98

4. Application (number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: 2/22/98
2/25/98 & 3/2/98

A. Patent Application No.(s)

B: Patent No.(s)

PCT International Application No. PCT/EP98/01405

Attorney Docket No. P99,1696

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom
correspondence concerning document should be
mailed:

Hill & Simpson, P.C.

85th Floor Sears Tower
233 S. Wacker Drive
Chicago, IL 60606

6. Total number of applications and patents involved

17. Total Fee (37 CFR 3.41) \$ 40.00☒ Enclosed
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Additional fees

8. Deposit Account Number:

08-2290

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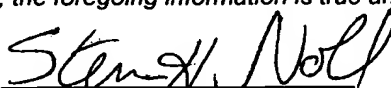
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Steven H. Noll

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Signature

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Washington, D.C. 20231

A S S I G N M E N T

For good and valuable consideration, I/we, the undersigned

AEUGLE, Thomas
residing at:
Alb.-Schweitzer-Str. 38
D-81735 München

Bundesrepublik Deutschland

RÖSNER, Wolfgang

Heinzelmännchenstr. 2
D-81739 München

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BEHAMMER, Dag
residing at:
Friedrichshafener Str. 22
D-89079 Ulm

Bundesrepublik Deutschland

VESCAN, Lili

Richtericher Str. 86
D-52072 Aachen

Bundesrepublik Deutschland

hereby sell, assign, and transfer to

**Siemens Aktiengesellschaft,
Forschungszentrum Jülich GmbH and
Ruhr-Universität Bochum**

German corporations organized and existing under the laws of the Federal Republic of Germany, having their principal places of business in Munich, Federal Republic of Germany herein the "Assignees", their successors, assigns and legal representatives the entire right, title and interest in and for the United States, in all and to any improvements in the

(Title:) **Verfahren zur Herstellung eines vertikalen MOS-Transistors**

disclosed in the PCT international application for Letters Patent designating the United States, said application being identified in our records as

Applicants File No. **GR 97 P 8023 P US**
and filed as PCT-application

and in and to said application and all divisional, continuing substitute, renewal, reissue and all other applications for Letters Patent which have been or shall be filed in the United

States on any of said improvements; and in and to all original and reissued patents which have been or shall be issued in the United States on said improvements;

hereby agree that said Assignees may apply for and receive Letters Patent for said improvements in their own name and that when requested without charge to but at the expense of said Assignees, their successors, assigns, and legal representatives, to carry out in good faith the intent and purpose of this agreement, the undersigned will execute all divisional, continuing substitute, renewal, reissue and all other patent applications on any and all said improvements; execute all rightful oaths, assignments, powers of attorney and other papers; communicate to said Assignees, their successors, assigns and legal representatives all facts known to the undersigned relating to said improvements and the history thereof; and generally do everything possible which said Assignees, their successors, assigns, or legal representatives shall consider desirable for aiding in securing and maintaining proper patent protection for said improvements and for vesting title to said improvements and all applications for patents and all patents on said improvements in said Assignees, their successors, assigns, and legal representatives; and

hereby covenant with said Assignees, their successors, assigns and legal representatives that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed had been made to others by the undersigned, and that full right to convey the same as herein expressed is possessed by the undersigned.

Date: 25.2.98

Thomas Aeugle
Thomas Aeugle

Witnesses: Annalisa Capellani
(type name) ANNALISA CAPPELLANI

Witnesses: T. Schulz
(type name) Thomas Schulz

Date: 25.2.98

Wolfgang Rösner
Wolfgang Rösner

Witnesses: Annalisa Capellani
(type name) ANNALISA CAPPELLANI

Witnesses: T. Schulz
(type name) Thomas Schulz

Date: 27.2.98

Dag Behammer
Dag Behammer

Witnesses: Dagmar Behammer
(type name)

Witnesses: Jannetore Fie
(type name)

Date: 2.03.98

Lili Vescan
Lili Vescan

Witnesses: Trene Schumacher
(type name)

Witnesses: Michael Gonyll
(type name)